

AO 440 (Rev. 06/12) Summons in a Civil Action

UNITED STATES DISTRICT COURT

for the

Southern District of New York

State of New York, State of California, State of
Connecticut, State of Delaware, District of Columbia,
State of Maine, State of New Mexico, and State of
Oregon

Plaintiff(s)

v.

United States Securities and Exchange Commission;
and Walter "Jay" Clayton III, in his official capacity as
Chairman of the United States Securities and
Exchange Commission

Defendant(s)

Civil Action No. 19-cv-8365-VM

SUMMONS IN A CIVIL ACTION

To: *(Defendant's name and address)* United States Securities and Exchange Commission
c/o Office of the General Counsel
100 F Street NE
Washington DC 20549

A lawsuit has been filed against you.

Within 21 days after service of this summons on you (not counting the day you received it) — or 60 days if you are the United States or a United States agency, or an officer or employee of the United States described in Fed. R. Civ. P. 12 (a)(2) or (3) — you must serve on the plaintiff an answer to the attached complaint or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff or plaintiff's attorney, whose name and address are:

Matthew Colangelo, Chief Counsel for Federal Initiatives
Office of the Attorney General of the State of New York
28 Liberty Street
New York, NY 10005
Tel: (212) 416-6057 E-mail: matthew.colangelo@ag.ny.gov
(See additional counsel listed in attachment)

If you fail to respond, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.

CLERK OF COURT

Date: _____

Signature of Clerk or Deputy Clerk

Civil Action No. 19-cv-8365-VM

PROOF OF SERVICE*(This section should not be filed with the court unless required by Fed. R. Civ. P. 4 (l))*

This summons for *(name of individual and title, if any)* _____
 was received by me on *(date)* _____ .

☐ I personally served the summons on the individual at *(place)* _____
 _____ on *(date)* _____ ; or

☐ I left the summons at the individual's residence or usual place of abode with *(name)* _____
 _____, a person of suitable age and discretion who resides there,
 on *(date)* _____, and mailed a copy to the individual's last known address; or

☐ I served the summons on *(name of individual)* _____, who is
 designated by law to accept service of process on behalf of *(name of organization)* _____
 _____ on *(date)* _____ ; or

☐ I returned the summons unexecuted because _____ ; or

☐ Other *(specify)*:

My fees are \$ _____ for travel and \$ _____ for services, for a total of \$ 0.00 .

I declare under penalty of perjury that this information is true.

Date: _____

Server's signature

Printed name and title

Server's address

Additional information regarding attempted service, etc:

ATTACHMENT: ATTORNEYS FOR PLAINTIFFS

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** Application for admission pro hac vice forthcoming*